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001/PTO Rev. 10/95		U.S. Department of Commerce Patent and Trademark Office	
<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>		Application Number	10/697,906
		Filing Date	October 29, 2003
		First Named Inventor	Albert K. Chin
		Group Art Unit Number	Not Yet Known
		Examiner Name	Not Yet Known
Total Number of Pages in This Submission	**7	Attorney Docket Number	23488-07961

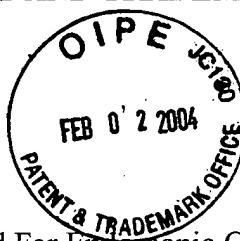
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Albert K. Chin et al.  
APPLICATION NO.: 10/697,906  
FILING DATE: October 29, 2003  
TITLE: Apparatus And Method For Endoscopic Cardiac Mapping And Lead Placement  
EXAMINER: Not Yet Known  
GROUP ART UNIT: Not Yet Known  
ATTY. DKT. NO.: 23488-07961



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Dated: 1/29/04

By: *Albert K. Smith*  
Albert K. Smith, Reg. No.: 20,355

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**INFORMATION DISCLOSURE STATEMENT**  
**Under 37 CFR §§ 1.56 and 1.97-98**

SIR:

Pursuant to the provisions of 37 CFR §§ 1.56 and 1.97-98, enclosed herewith is modified form PTO/SB/08A listing references for consideration by the Examiner. Enclosed is a copy of non-patent references that may be material to the examination of this application, and for which there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

This Information Disclosure Statement is being filed:

- ☒ within three months of the filing date of the application, or date of entry into the national stage of an international application, or before the mailing date of a first office action on the merits, whichever event last occurred;
- ☐ before the mailing of a first official action after the filing of a request for continued examination (RCE) under 37 CFR § 1.114;

**PATENT**

- ☐ after three months of the filing date of this national application or the date of entry of the national stage in an international application, or after the mailing date of the first official action on the merits, whichever event last occurred, but before the mailing date of the first to occur of either: (1) a final action under 37 CFR §1.113; or (2) an action that otherwise closes prosecution in the application, and:
  - ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
  - ☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement;
- ☐ on or before the payment of the issue fee but after the mailing date of the first to occur of either: (1) a final action under 37 CFR § 1.113; (2) a notice of allowance under 37 CFR § 1.311; or (3) an action that otherwise closes prosecution in the application, and:
  - ☐ Applicant certifies pursuant to 37 CFR. § 1.97(e) that:
    - ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
    - ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this certification after making reasonable inquiry, no item of

**PATENT**

information contained in this Statement was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement; AND

- ☐ attached hereto is the fee set forth under 37 CFR §1.17(p) for submission of this Information Disclosure Statement under 37 CFR. § 1.97(c); OR
- ☐ after the payment of the issue fee. Applicant requests that the information contained in this Information Disclosure Statement be placed in the file according to 37 CFR § 1.97(i), although the information may not be considered by the USPTO.
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application No. APPLICATION NO., filed on DATE FILED, and the references cited therein are hereby referenced, but are not required to be provided in this application under 37 CFR § 1.98(d).
- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not received by any individual designated in 37 CFR § 1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement. 37 CFR § 1.704(d).
- ☒ Applicant submits that no fee is required for the consideration of this Information Disclosure Statement.

Consideration of the listed references and favorable action are solicited.

Respectfully submitted,  
ALBERT K. CHIN ET AL.

Dated: \_\_\_\_\_

1/29/04

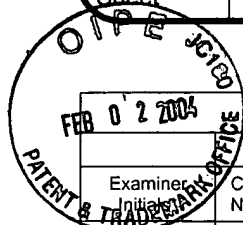
By: \_\_\_\_\_

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Substitute for form 1449A/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application No.	10/697,906
				Filing Date	October 29, 2003
				First Named Inventor	Albert K. Chin
				Art Unit	Not Yet Known
				Examiner Name	Not Yet Known
Sheet	2	of	3	Attorney Docket Number	23488-07961

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document No. Number – Kind Code <sup>2</sup> (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	A26	US-6,162,195	12-19-2000	Igo et al.
	A27	US-6,322,536	11-27-2001	Rosengart et al.
	A28	US-6,478,028	11-12-2002	Paolitto et al.
	A29	US-702,789	06-17-1902	Gibson

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> – Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup>
	B1	EP 0095727A1	12-07-1983	Purdue Research Foundation	

**OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>6</sup>
	C1	P.J. de Feyter et al., "Permanent Cardiac Pacing with Sutureless Myocardial Electrodes: Experience in First One Hundred Patients," <i>PACE</i> , Vol 3, No. 2, March 1980, pp. 144-149.	
	C2	S. Stewart, M.D., "Placement of the Sutureless Epicardial Pacemaker Lead by the Subxiphoid Approach," <i>The Annals of Thoracic Surgery</i> , Vol. 18, No. 3, September 1974, pp. 308-313.	
	C3	L. Watkins, Jr., M.D. et al., "Implantation of the Automatic Defibrillator: The Subxiphoid Approach," <i>The Annals of Thoracic Surgery</i> , Vol. 34, No. 5, November 1982, pp. 515-520	
	C4	R. Broadman et al., "ICD Implantation via Thoracoscopy, "Mailslot" Thoracotomy and Subxiphoid Incision," <i>The Annals of Thoracic Surgery</i> , Vol. 57, No. 2, February 1994, pp. 475-476.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT****Complete if Known**

Application No.	10/697,906
Filing Date	October 29, 2003
First Named Inventor	Albert K. Chin
Art Unit	Not Yet Known
Examiner Name	Not Yet Known
Attorney Docket Number	23488-07961

Sheet 1 of 3

**U.S. PATENT DOCUMENTS**

Cite No. <sup>1</sup>	Document No.		Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
	Number - Kind Code <sup>2</sup> (if known)			
A1	US-3,870,048		03-11-1975	Yoon
A2	US-4,181,123		01-01-1980	Crosby
A3	US-4,291,707		09-29-1981	Heilman et al.
A4	US-4,319,562		03-16-1982	Crosby
A5	US-4,765,341		08-23-1988	Mower et al.
A6	US-4,991,578		02-12-1991	Cohen
A7	US-4,991,578		01-12-1991	Cohen
A8	US-5,033,477		07-23-1991	Chin et al.
A9	US-5,033,477		07-23-1991	Chin et al.
A10	US-5,071,428		12-10-1991	Chin et al.
A11	US-5,129,394		07-14-1992	Mehra
A12	US-5,246,014		09-21-1993	Williams et al.
A13	US-5,336,252		08-09-1994	Cohen
A14	US-5,336,252		08-09-1994	Cohen
A15	US-5,385,156		01-31-1995	Oliva
A16	US-5,464,447		11-07-1995	Fogarty et al.
A17	US-5,618,287		04-08-1997	Fogarty et al.
A18	US-5,690,648		11-25-1997	Fogarty et al.
A19	US-5,716,392		02-10-1998	Bourgeois et al.
A20	US-5,728,148		03-17-1998	Bostrom et al.
A21	US-5,755,764		05-26-1998	Schroeppel
A22	US-5,827,216		10-27-1998	Igo et al.
A23	US-5,897,586		04-27-1999	Molina
A24	US-5,972,013		10-26-1999	Schmidt
A25	US-6,102,046		08-15-2000	Weinstein et al.

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609.

Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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23488/07961/DOCS/1400633.1

Substitute for form 1449A/PTO

### Complete if Known

<b>Application No.</b>	10/697,906
<b>Filing Date</b>	October 29, 2003
<b>First Named Inventor</b>	Albert K. Chin
<b>Art Unit</b>	Not Yet Known
<b>Examiner Name</b>	Not Yet Known
<b>Attorney Docket Number</b>	23488-07961

Sheet

3

of

3

Examined

[illegible]

Examiner Signature		Date Considered	
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<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.